

APPENDICES



United States Department of the Interior National Park Service

APPLICATION PROCEDURES AND REQUIREMENTS FOR SCIENTIFIC RESEARCH AND COLLECTING PERMITS

POLICY AND GENERAL REQUIREMENTS

The National Park Service (NPS) welcomes your interest in considering national parks for your research site. The NPS is responsible for protecting in perpetuity and regulating use of our National Park areas (parks, monuments, battlefields, seashores, recreation areas, etc.). Preserving park resources unimpaired and providing appropriate visitor uses of parks require a full understanding of park natural resource components, their interrelationships and processes, and visitor interests that can be obtained only by the long term accumulation and analysis of information produced by science. The NPS has a research mandate to provide management with that understanding, using the highest quality science and information. Superintendents increasingly recognize that timely and reliable scientific information is essential for sound decisions and interpretive programming. NPS welcomes proposals for scientific studies designed to increase understanding of the human and ecological processes and resources in parks and proposals that seek to use the unique values of parks to develop scientific understanding for public benefit.

When is a permit required?

A Scientific Research and Collecting Permit is required for most scientific activities pertaining to natural resources or social science studies in National Park System areas that involve fieldwork, specimen collection, and/or have the potential to disturb resources or visitors. When permits are required for scientific activities pertaining solely to cultural resources, including archeology, ethnography, history, cultural museum objects, cultural landscapes, and historic and prehistoric structures, other permit procedures apply. The park's Research and Collecting Permit Office or Headquarters can provide copies of NPS research-related permit applications and information regarding other permits. Federally funded collection of information from the public, such as when formal surveys are used, may require approval from the Office of Management and Budget.

NPS superintendents may authorize their staff to carry out official duties without requiring an NPS research and collecting permit. NPS staff must comply appropriately with professional standards and with all conditions normally associated with scientific research and collecting permits issued by the park. All other natural and social science research and data collection in a park requires a Scientific Research and Collecting Permit and will be allowed only pursuant to the terms and conditions of the permit.

Additional required permits, approvals, and agreements

In some cases, other federal or state agency permits or approvals may be required before NPS staff can process an application for a Scientific Research and Collecting Permit. Examples include U.S. Fish and Wildlife Service threatened and endangered species permits and migratory bird permits and approvals by an Institutional Animal Care and Use Committee. It is the responsibility of the principal investigator to provide NPS with copies of such permits when they submit an application. Applicants are encouraged to contact park staff to determine if additional permits may be required in conjunction with a proposed study.

Separate agreements between the investigator and NPS are required when proposed studies or collected specimens are intended to support commercial research activities.

Who may apply?

Any individual may apply if he/she has qualifications and experience to conduct scientific studies or represents a reputable scientific or educational institution or a federal, tribal, or state agency.

When to apply?

We recommend that you apply at least 90 days in advance of your first planned field activities. Projects requiring access to restricted locations or proposing activities with sensitive resources, such as endangered species or cultural sites, usually require extensive review and can require 90 days or longer for a permitting decision. Simple applications can often be approved more quickly.

How and where to apply?

An individual may obtain application materials via the Internet (find “Research Permit and Reporting System” at <http://science.nature.nps.gov/research> or through www.nps.gov) or by contacting the park in which the work will be conducted. Addresses for NPS areas are listed on the NPS Internet web site (www.nps.gov) or may be obtained by contacting the NPS Public Affairs Office via telephone number 202-208-4747. All application materials must be submitted to the NPS area in which you plan to work. You may submit this information via Internet or traditional postal service.

Study proposals

Applications for Research and Collecting Permits must include a research proposal. Proposals must include, as appropriate, all elements outlined in the separate document *Guidelines to Researchers for Study Proposals*.

Review of proposals

Each proposal will be reviewed for compliance with National Environmental Policy Act (NEPA) requirements and other laws, regulations, and policies. The superintendent may also require internal and/or external scientific review, depending on the complexity and sensitivity of the work being proposed and other factors. You can expedite review of your proposal by providing photocopies of existing peer reviews, or by providing names, mailing addresses, and email addresses of persons that you wish to recommend to review your proposal. Specific details about the review process may be included with the application materials provided by that park.

Facilitating a favorable decision

The superintendent makes a decision to approve a research and collecting permit based on an evaluation of favorable and unfavorable factors (see examples, below), and on an assessment of perceived risks and benefits. While park managers will work with applicants to arrive at a mutually acceptable research design, there may be activities where no acceptable mitigating measures are possible and the application may be denied.

The time and effort required to review the permit application and accompanying study proposal will be proportional to the type and magnitude of the proposed research. For example, a single visit for a non-manipulative research project will often require a relatively simple proposal and the permitting decision should be relatively fast. A highly manipulative or intrusive investigation, however, with the potential to affect non-renewable, rare, or delicate resources, needing detailed planning or logistics, would receive more extensive review. Some of the predisposing factors that influence permitting decisions are outlined below.

Favorable factors

The proposed research:

- contributes information useful to an increased understanding of park resources, and thereby contributes to effective management and/or interpretation of park resources; provides for scheduled sharing of information with park staff, including any manuscripts, publications, maps, databases, etc., which the researcher is willing to share;
- addresses problems or questions of importance to science or society and shows promise of making an important contribution to humankind's knowledge of the subject matter;
- involves a principal investigator and support team with a record of accomplishments in the proposed field of investigation and with a demonstrated ability to work cooperatively and safely, and to accomplish the desired tasks within a reasonable time frame;
- provides for the investigator(s) to prepare occasional summaries of findings for public use, such as seminars and brochures;
- minimizes disruption to the park's natural and cultural resources, to park operations, and to visitors;
- discusses plans for the cataloging and care of collected specimens;
- clearly anticipates logistical needs and provides detail about provisions for meeting those needs; and
- is supported academically and financially, making it highly likely that all fieldwork, analyses, and reporting will be completed within a reasonable time frame.

Unfavorable factors

The proposed research:

- involves activities that adversely affect the experiences of park visitors;
- shows potential for adverse impact on the park's natural, cultural, or scenic resources, and particularly to non-renewable resources such as archeological and fossil sites or special-status species (the entire range of adverse impacts that will be considered also includes construction and support activities, trash disposal, trail conditions, and mechanized equipment use in sensitive areas);
- shows potential for creating high risk of hazard to the researchers, other park visitors, or environments adjacent to the park;
- involves extensive collecting of natural materials or unnecessary replication of existing voucher collections; requires substantial logistical, administrative, curatorial, or project monitoring support by park staff; or provides insufficient lead time to allow necessary review and consultation;
- is to be conducted by a principal investigator lacking scientific institutional affiliation and/or recognized experience conducting scientific research; and
- lacks adequate scientific detail and justification to support the study objectives and methods.

Park response

The principal investigator should receive notice of the approval or rejection of the application by written correspondence via mail, electronic mail, or facsimile. If modifications or changes in a study proposal initially deemed unacceptable would make the proposal acceptable, the park may suggest them at this time. If the application is rejected, the applicant may consult with the appropriate NPS Regional Science Advisor to clarify issues and assess the potential for reconsideration by the park.

Permittee response

If your permit request is approved by the park, you will receive a copy of the permit that you must sign and return to the park via mail or fax. Once the park receives a copy of the permit that you have signed, appropriate NPS officials will validate it and return an approved copy to you. You must carry a copy of the approved permit at all times while performing your research or collecting in the park.

Permit stipulations

General Conditions (requirements and restrictions) will be attached to all Research and Collecting Permits issued. These conditions must be adhered to by permit recipients. Additional Park-specific Conditions may also be included that address unique park resources or activities. An NPS permit is valid only for the activities authorized in the permit. The principal investigator must notify the NPS in writing of any proposed changes. Requests for significant changes may necessitate re-evaluation of the permit conditions or development of a revised proposal.

Access permit requirements

Some NPS areas require access permits for off-road travel, camping, and other activities. Access to many areas is limited and popular destinations can be booked several months in advance. Please contact the park's Research and Collecting Permit Office to obtain information on any needed access permits.

Research products and deliverables

Researchers working in NPS areas are required to complete an NPS Investigator's Annual Report form for each year of the permit, including the final year. The NPS maintains a system enabling researchers to use the Internet to complete and submit the Investigator's Annual Report. NPS staff will contact permit holders near the beginning of each calendar year to request the prior year's report and explain how to access and use the system. Investigator's Annual Reports are used to consistently document accomplishments of research conducted in parks. Principal investigators are responsible for the content of their reports. NPS staff will not modify reports received unless requested to do so by the principal investigator responsible for the report.

Park research coordinators may request copies of field notes, data, reports, publications and/or other materials resulting from studies conducted in NPS areas. Additional deliverables may be required of studies involving NPS funding or participation.

Privacy Act and Paperwork Reduction Act

NPS regulations (36 CFR 2.1) prohibit possessing, destroying, injuring, defacing, removing, digging, or disturbing from their natural state in any form animals, plants, paleontological, or mineral resources. NPS regulations (36 CFR 2.5) require researchers wishing to conduct research involving acts prohibited by other regulations, such as CFR 2.1, to obtain a specimen collection permit. The National Parks Omnibus Management Act of 1998 (Public Law 105-391) encourages use of parks for science, encourages publication of the results of research conducted in parks, and requires that research conducted in parks be consistent with park laws and management policies. This law also requires that research be conducted in a manner that poses no threat to park resources or public enjoyment. National Park Service Management Policies state that research activities that might disturb resources or visitors, that require the waiver of any regulation, or that involve the collection of specimens may be allowed only pursuant to terms and conditions of an appropriate permit.

The information you submit in your Application for a Scientific Research and Collecting Permit will be used by park managers to determine whether or not to issue you a Scientific Research and Collecting Permit. The information you submit in your Investigator's Annual Report will be used by park managers to inform resource management decision-makers, park visitors, the public, and other researchers about the objectives and progress results of your research.

Parks and park records are public assets. The information you submit in your Application and in your Investigator's Annual Report is not confidential and will be in the public record and available to the public. If you want to receive and maintain a Scientific Research and Collecting Permit, you must respond to both the Application and Investigator's Annual Report collections of information. If you do not respond to the request for information in the Application, you will not be considered for a Scientific Research and Collecting Permit. If you have received a Scientific Research and Collecting Permit and do not respond to

the request for information in the Investigator's Annual Report, your permit may be revoked and you may be denied future permits.

The Application for a Scientific Research and Collecting Permit and the Investigator's Annual Report are two parts of one complete process dealing with conducting scientific research and collecting in a unit of the National Park System. The total public reporting burden involved in electronically completing the collection of information process for a single scientific research and collecting activity in a unit of the National Park System includes the burden of reading the informational documents associated with these two information collection forms plus completing and submitting one Application form (approximately 45 minutes), plus the burden of signing and mailing an issued permit back to the park (approximately 15 minutes), plus the burden of completing one associated Investigator's Annual Report form (approximately 15 minutes). Some applicants will experience an additional burden of photocopying and mailing attachments (approximately 15 minutes). Other applicants will experience an additional burden of coordinating with a specimen repository (approximately 30 minutes). The total public reporting burden experienced by a successful permittee for electronically completing this process for a single scientific research and collecting activity in a unit of the National Park System thus is estimated to range between 1.25 and 2.0 hours per year. The total public reporting burden experienced by an unsuccessful applicant for electronically completing this process is estimated to be about 45 minutes per year because the unsuccessful applicant will not be required to complete the Investigator's Annual Report, mail a signed permit, or respond to other portions of the process. The few applicants who complete these forms manually are expected to experience a somewhat larger annual reporting burden. Direct any comments you may have regarding this burden estimate or any other aspect of this information collection process or of its two forms to the Office of Information and Regulatory Affairs of OMB, Attention Desk Officer for the Interior Department, Office of Management and Budget, Washington, DC 20503; and to the Information Collection Clearance Officer, WASO Administrative Program Center, National Park Service, 1849 C Street, N.W., Washington, DC 20240.



APPLICATION FOR A SCIENTIFIC RESEARCH AND COLLECTING PERMIT

United States Department of the Interior
National Park Service

Name of the National Park Service area(s) you are applying to:			
Select one of the following: <input type="checkbox"/> New application <input type="checkbox"/> Renewal of a previously issued permit <input type="checkbox"/> Modification of a previously issued permit		Please enter numbers for permit renewal or modification requests: Previously assigned NPS study number: Previously assigned NPS permit number:	
Name of principal investigator (first, last)		Office phone #	
Mailing address of principal investigator		Alternative phone #	
		Office FAX #	
Name of institution represented		Office email address of principal investigator	
Additional investigators (first name, last name, office phone, office email)			
Project title (maximum 300 characters)			
Purpose of study (maximum 4000 characters)			
Proposed starting date (month/day/year)		Proposed Ending date (month/day/year)	
Will members of the public be asked to participate in a survey as part of this proposed study? (Yes or No)			
Do you anticipate receiving funding assistance from the U.S. federal government for this study? (Yes or No)			
If "Yes," specify the agency(s):			
Where will data reside upon completion of this project?			
Location(s) where activities will take place within the National Park Service area(s):			
Method of access (vehicles, aircraft, boat, snowmobile, foot, etc.):			
Would you like to collect specimens or materials? (Yes or No) If you respond "Yes," please complete Page 2 of this application.			
A research proposal on paper, or in electronic form, must accompany this application. I certify that this application is accurate and complete. I authorize the National Park Service to seek peer reviews of my proposal.			
Signature of principal investigator: _____		Date: _____	
Park Service use only	Date received	Assigned study number	Assigned permit number

(This form continues on Page 2)

The National Park Service may not conduct or sponsor, and a person is not required to respond to, this collection of information unless it displays a currently valid OMB control number. **OMB#: (Requested)** **Expires: (Requested)**



APPLICATION FOR A SCIENTIFIC RESEARCH AND COLLECTING PERMIT

United States Department of the Interior
National Park Service

PAGE 2:

COLLECTIONS

(Complete this section if you would like to collect specimens or materials)

Scientific description of specimens or materials to be collected (include taxonomic group or name, or type of material; sample size, quantity, frequency, and location):

If you propose that specimens or materials are to be retained permanently, they will become part of National Park Service collections. You may request that they be loaned to or otherwise deposited with a non-NPS institution.

Proposed repository of specimens:

- ☐ National Park Service
- ☐ Other institution (if selected, you must complete the box below)
- ☐ Will be destroyed through analysis or discarded after analysis

Proposed Repository for Collections

(Complete this section only if you checked "Other institution" in the box above)

Non- Non-NPS institution where specimens or materials are proposed to be deposited:

Organization Information

Institution: _____

Address: _____

Phone #: _____

FAX #: _____

Email: _____

This organization concurs with the proposal that collected specimens or materials be loaned or deposited to this institution subject to the "General Permit Conditions and Restrictions" and the terms of applicable National Park Service loan agreements.

(Signature of responsible official at custodial institution)

(Date)

(Name of responsible official – please print)

(Title of responsible official – please print)

The National Park Service may not conduct or sponsor, and a person is not required to respond to, this collection of information unless it displays a currently valid OMB control number.

OMB#: (Requested)

Expires: (Requested)



GUIDELINES TO RESEARCHERS FOR STUDY PROPOSALS

United States Department of the Interior National Park Service

Your proposal should include each of the required information items listed below, in enough detail that an educated non-specialist can understand exactly what you plan to do. If you have already prepared a relevant proposal for a funding application, work plan, formal agreement, or similar document, then your original proposal likely will satisfy National Park Service (NPS) proposal requirements. The primary area where new information may be necessary concerns the ability of the park to assess what, if any, impacts your research may have on park resources. You should compare your original proposal to these guidelines to be certain that you have provided all the required information. If additional information is required, you can provide it in a cover letter or supplement to your proposal, as appropriate. If a required topic does not apply to your proposed study, simply list the topic and write “not applicable.”

The length of your proposal depends primarily on the complexity of the work planned. In some cases, a proposal may consist of a couple of pages for a study expected to have no significant impact on park resources or visitor experiences. However, proposals for lengthy or complex research problems, for extensive collecting, and for work with special status species or sensitive cultural resources are typically longer, more detailed, and well-organized. Incomplete, disorganized, or illegible proposals may be returned for revision.

I. INTRODUCTION

- A. **Title**
- B. **Date of proposal**
- C. **Investigators** - Provide the name, title, address, telephone number, FAX number, email address, and institutional affiliation of the principal investigator and the name and affiliation of all additional investigators listed in the proposal.
- D. **Table of contents** - Recommended for long or complicated proposals.
- E. **Abstract** - Provide a brief summary description of the proposed project. Include up to five keywords that can be used by the NPS to quickly identify the proposal subject (for example, microbiology, geology, ecology).

II. OVERVIEW - Summarize the proposed project by describing in general the problem or issue being investigated as well as any previous pertinent research.

- A. **Statement of issue** - Describe the issue to be investigated and its importance and relevance to science and to the park. Provide relevant background information that clarifies the need for the project and why it is valuable for the research and/or collecting to be conducted in the park.
- B. **Literature summary** - Summarize the relevant literature regarding the issue, problem, or questions that will be investigated.
- C. **Scope of study** - Describe the overall geographic and scientific scope of the project.

- D. **Intended use of results** - Describe how the products will be used, including any anticipated commercial use.
- III. **OBJECTIVES/HYPOTHESES TO BE TESTED** - Describe the specific objectives of the proposed project. Where appropriate, the objectives should be stated as specific hypotheses to be tested.
- IV. **METHODS** - Describe how the proposed methods and analytical techniques will achieve the study objectives or test the stated hypothesis/question. Provide pertinent literature citations.
- A. **Description of study area** – Clearly describe the study area in terms of park name(s), geographic location(s), and place names. Provide maps, park names, or geographic coordinates as appropriate. Indicate whether your work will take place in an area designated or managed as “wilderness” by the NPS.
- B. **Procedures** - Describe the proposed study design that addresses the stated objectives and hypotheses. Explain the methods and protocols to be employed in the field and laboratory.
- C. **Collections** - Describe the type, size, and quantity of specimens or materials to be collected, sampled, or captured, and your plans to remove them from the collecting site. If you are aware specimens of the proposed types already exist in a repository, explain why additional collecting is necessary. Provide scientific nomenclature where possible. Provide information on all other applicable federal or state permits where required.
- D. **Analysis** - Explain how the data from the study will be analyzed to meet the stated objectives or test the hypotheses. Include any statistical techniques or mathematical models necessary to the understanding of the analysis.
- E. **Schedule** - Provide a schedule that includes start of project, approximate dates or seasons of fieldwork, analysis, reporting, and completion dates.
- F. **Budget** - Briefly outline the expenses associated with this project and identify your expected funding source(s). Include the anticipated costs pertaining to the cataloging of collected and permanently retained specimens or materials.
- V. **PRODUCTS**
- A. **Publications and reports** - Describe the expected publications or reports that will be generated as part of this study.
- B. **Collections** – Describe the proposed disposition of collected specimens or materials. If you propose that the NPS lend the specimens or samples to a non-NPS institution for long-term storage, identify that institution and give a brief justification for this proposal.
- C. **Data and other materials** - Describe any other products to be generated as part of the project, such as, photographs, maps, models, handouts, exhibits, software presentations, raw data, GIS coverages, or videos, and the proposed disposition of these materials. If data are to be collected from the public as part of this study, provide a copy of the data collection instrument (survey, questionnaire, interview protocol, etc.).

- VI. **LITERATURE CITED** - Include full bibliographic citations for all reports and publications referenced in the proposal.
- VII. **QUALIFICATIONS** - Provide a background summary or curriculum vitae for the principal investigator and other investigators listed in the proposal. Identify their training and qualifications relevant to the proposed project and their ability to conduct field activities in the environment of the proposed study area. Describe previous research and collecting in NPS areas, including study and permit numbers if available.
- VIII. **SUPPORTING DOCUMENTATION AND SPECIAL CONCERNS** - Provide information on the following topics where applicable. Attach copies of any supporting documentation that will facilitate processing of your application, such as other required federal and state permits, copies of peer reviews, letters of support and funding commitments, and certifications. Collection of information from the public when federal funds are used may require approval from the Office of Management and Budget (OMB). Upon your request, the NPS Social Science Program will advise you on steps needed to obtain this OMB approval.
- A. **Safety** - Describe any known potentially hazardous activities, such as electrofishing, rock climbing, scuba diving, whitewater boating, aircraft use, wilderness travel, wildlife capture, handling or immobilization, use of explosives, etc.
- B. **Access to study sites** - Describe the proposed method and frequency of travel to and within the study site(s). Explain any need to enter restricted areas. Describe duration, location, and number of participants for planned backcountry camping.
- C. **Use of mechanized and other equipment** - Describe any field equipment, markers, or supply caches by type, number, and location. You should explain how long they are to be left in the field. Explain the need to use these materials in restricted areas and the alternatives that were considered.
- D. **Chemical use** - Identify any chemicals and hazardous material that you propose using within the park. Indicate the purpose, method of application, and amount to be used. Describe plans for storage, transfer, and disposal of these materials and describe steps to remediate accidental releases into the environment. Attach copies of Material Safety Data Sheets.
- E. **Ground disturbance** - Describe the type, location, area, depth, number, and distribution of expected ground-disturbing activities, such as soil pits, cores, stakes, or latrines. Describe plans for site restoration of significantly affected areas.
- Proposals that entail ground disturbance may require an archeological survey and special clearance prior to approval of the study. You can help reduce the extra time that may be required to process such a proposal by including identification of each ground disturbance area on a USGS 7.5-minute topographic map.
- F. **Animal welfare** - For vertebrate species that require review by your Institutional Animal Care and Use Committee (IACUC) according to the Animal Welfare Act, please include a photocopy of the study protocol, and IACUC review form and approval.
- For vertebrate species not requiring IACUC review, describe your protocol for any capture, holding, marking, tagging, tissue sampling, or other handling of these animals (including the training and qualifications of personnel relevant to animal handling and care). Please discuss alternative techniques considered and outline any procedures to

alleviate pain or distress. Include contingency plans to be implemented in the event of accidental injury to or death of the animal.

- G. **NPS assistance** - Describe any NPS field assistance you would like to receive to complete the proposed study, such as use of equipment or facilities or assistance from staff.
- H. **Wilderness “minimum requirement” protocols** - If some or all of your activities will be conducted within a location administered by the NPS as a designated, proposed, or potential wilderness area, your proposal should describe how the project adheres to wilderness “minimum requirement” and “minimum tool” concepts. Refer to the park’s wilderness management plan for further information.



GENERAL CONDITIONS

For

SCIENTIFIC RESEARCH AND COLLECTING PERMIT

United States Department of the Interior
National Park Service

1. **Authority** - The permittee is granted privileges covered under this permit subject to the supervision of the superintendent or a designee, and shall comply with all applicable laws and regulations of the National Park System area and other federal and state laws. A National Park Service (NPS) representative may accompany the permittee in the field to ensure compliance with regulations.
2. **Responsibility** - The permittee is responsible for ensuring that all persons working on the project adhere to permit conditions and applicable NPS regulations.
3. **False information** - The permittee is prohibited from giving false information that is used to issue this permit. To do so will be considered a breach of conditions and be grounds for revocation of this permit and other applicable penalties.
4. **Assignment** - This permit may not be transferred or assigned. Additional investigators and field assistants are to be coordinated by the person(s) named in the permit and should carry a copy of the permit while they are working in the park. The principal investigator shall notify the park's Research and Collecting Permit Office when there are desired changes in the approved study protocols or methods, changes in the affiliation or status of the principal investigator, or modification of the name of any project member.
5. **Revocation** - This permit may be terminated for breach of any condition. The permittee may consult with the appropriate NPS Regional Science Advisor to clarify issues resulting in a revoked permit and the potential for reinstatement by the park superintendent or a designee.
6. **Collection of specimens (including materials)** - No specimens (including materials) may be collected unless authorized on the Scientific Research and Collecting permit.

The general conditions for specimen collections are:

- Collection of archeological materials without a valid Federal Archeology Permit is prohibited.
- Collection of federally listed threatened or endangered species without a valid U.S. Fish and Wildlife Service endangered species permit is prohibited.
- Collection methods shall not attract undue attention or cause unapproved damage, depletion, or disturbance to the environment and other park resources, such as historic sites.
- New specimens must be reported to the NPS annually or more frequently if required by the park issuing the permit. Minimum information for annual reporting includes specimen classification, number of specimens collected, location collected, specimen status (e.g., herbarium sheet, preserved in alcohol/formalin, tanned and mounted, dried and boxed, etc.), and current location.
- Collected specimens that are not consumed in analysis or discarded after scientific analysis remain federal property. The NPS reserves the right to designate the repositories of all specimens removed from the park and to approve or restrict reassignment of specimens from one repository to another. Because specimens are Federal property, they shall not be destroyed or discarded without prior NPS authorization.
- Each specimen (or groups of specimens labeled as a group) that is retained permanently must bear NPS labels and must be accessioned and cataloged in the NPS National Catalog. Unless exempted by additional park-specific stipulations, the permittee will complete the labels and catalog records and will provide accession information. It is the permittee's responsibility to contact the park for cataloging instructions and specimen labels as well as instructions on repository designation for the specimens.
- Collected specimens may be used for scientific or educational purposes only, and shall be dedicated to public benefit and be accessible to the public in accordance with NPS policies and procedures.

- Any specimens collected under this permit, any components of any specimens (including but not limited to natural organisms, enzymes or other bioactive molecules, genetic materials, or seeds), and research results derived from collected specimens are to be used for scientific or educational purposes only, and may not be used for commercial or other revenue-generating purposes unless the permittee has entered into a Cooperative Research And Development Agreement (CRADA) or other approved benefit-sharing agreement with the NPS. The sale of collected research specimens or other unauthorized transfers to third parties is prohibited. Furthermore, if the permittee sells or otherwise transfers collected specimens, any components thereof, or any products or research results developed from such specimens or their components without a CRADA or other approved benefit-sharing agreement with NPS, permittee will pay the NPS a royalty rate of twenty percent (20%) of gross revenue from such sales or other revenues. In addition to such royalty, the NPS may seek other damages to which the NPS may be entitled including but not limited to injunctive relief against the permittee.
7. **Reports** - The permittee is required to submit an Investigator's Annual Report and copies of final reports, publications, and other materials resulting from the study. Instructions for how and when to submit an annual report will be provided by NPS staff. Park research coordinators will analyze study proposals to determine whether copies of field notes, databases, maps, photos, and/or other materials may also be requested. The permittee is responsible for the content of reports and data provided to the National Park Service.
 8. **Confidentiality** - The permittee agrees to keep the specific location of sensitive park resources confidential. Sensitive resources include threatened species, endangered species, and rare species, archeological sites, caves, fossil sites, minerals, commercially valuable resources, and sacred ceremonial sites.
 9. **Methods of travel** - Travel within the park is restricted to only those methods that are available to the general public unless otherwise specified in additional stipulations associated with this permit.
 10. **Other permits** - The permittee must obtain all other required permit(s) to conduct the specified project.
 11. **Insurance** - If liability insurance is required by the NPS for this project, then documentation must be provided that it has been obtained and is current in all respects before this permit is considered valid.
 12. **Mechanized equipment** - No use of mechanized equipment in designated, proposed, or potential wilderness areas is allowed unless authorized by the superintendent or a designee in additional specific conditions associated with this permit.
 13. **NPS participation** - The permittee should not anticipate assistance from the NPS unless specific arrangements are made and documented in either an additional stipulation attached to this permit or in other separate written agreements.
 14. **Permanent markers and field equipment** - The permittee is required to remove all markers or equipment from the field after the completion of the study or prior to the expiration date of this permit. The superintendent or a designee may modify this requirement through additional park specific conditions that may be attached to this permit. Additional conditions regarding the positioning and identification of markers and field equipment may be issued by staff at individual parks.
 15. **Access to park and restricted areas** - Approval for any activity is contingent on the park being open and staffed for required operations. No entry into restricted areas is allowed unless authorized in additional park specific stipulations attached to this permit.
 16. **Notification** - The permittee is required to contact the park's Research and Collecting Permit Office (or other offices if indicated in the stipulations associated with this permit) prior to initiating any fieldwork authorized by this permit. Ideally this contact should occur at least one week prior to the initial visit to the park.
 17. **Expiration date** - Permits expire on the date listed. Nothing in this permit shall be construed as granting any exclusive research privileges or automatic right to continue, extend, or renew this or any other line of research under new permit(s).

18. **Other stipulations** - This permit includes by reference all stipulations listed in the application materials or in additional attachments to this permit provided by the superintendent or a designee. Breach of any of the terms of this permit will be grounds for revocation of this permit and denial of future permits.



INVESTIGATOR'S ANNUAL REPORT

National Park Service

If you are not using the automated system supporting this report process, please fill out this form and return it to the appropriate park.
All or some of the information provided may be available to the public.

Reporting Year		Park			
Principal Investigator Name (first, last) Dr. Ms. Mr. Mrs.			Office Phone		
Address			Office FAX		
			Office Email		
Additional investigators (first name, last name, phone, email)					
Project Title (maximum 300 characters)					
Park-assigned Study #		Park-assigned Permit #		Permit Start Date	
				Permit Expiration Date	
Study Starting Date		Estimated Study Ending Date			
Study Status (<i>circle one</i>):		Completed	Continuing	Suspended	Terminated before completed
Activity Type (<i>circle one</i>):		Research	Inventory	Monitoring	Education
					Other
Subject/Discipline	Ecology	Geo. Info. System (GIS)	Ichthyology	Recreation/ Aesthetics	Volcanology/
(<i>circle one</i>):	Entomology	Geochemistry	Integrated Pest Mgmt.	Restoration – Cultural	Geothermal
	Environmental Monitoring	Geohydrology	Invertebrates	Restoration – Natural	Water Quality
Agriculture	Erosion/ Sedimentation	Geology – Coastal	Limnology	Sedimentology/ Stratigraphy	Water Quantity
Air Quality	Exotic Sp. – Animals	Geology – Fluvial	Mammalogy	Social Science – Economics	Water Rights
Anthropology/Ethnography	Exotic Sp. – Plants	Geology – General	Mgmt./ Administration	Social Science – Geography	Watershed Mgt.
Archeology	Fire	Geology – Structural	Microbiology	Social Science – History	Wetlands
Botany	Fisheries Management	Geomorphology	Minerals Management	Social Science – Sociology	Wildlife Management
Cave (Flora/ Fauna)	Flood Mgmt./ History	Geophysics	Oceanography	Social Science – Other	Zoology
Cave/ Karst	Forestry	Glaciology	Ornithology	Soil Science	
Climatology	Fungi	Herpetology	Paleontology	Tectonics	Other
Coastal/ Marine Systems	Geo-Hazard (Chemical)	Hydrology (Ground)	Petrology/ Mineralogy	Threat./ Endangered Animals	
Contaminants/ Haz. Mat.	Geo-Hazard (Physical)	Hydrology (Surface)	Range Management	Threat./ Endangered Plants	
Objectives (maximum 4000 characters)					
Findings and Status (maximum 4000 characters)					
Reports Produced (Reference Title, Authors, Name of Publication, Abstract, Volume and Page Numbers, Year Published, Type of Reference, Keywords)					
For this study, were one or more specimens collected and removed from the park but not destroyed during analysis? (Y/N)					
If “Yes,” where are the specimens currently stored?					
Funding provided this reporting year by NPS (enter dollar amount)			Funding provided this reporting year by other sources (enter dollar amount)		
\$			\$		
List other U.S. Government Agencies supporting this study and funding each provided this reporting year:					
Fill out the following ONLY IF the National Park Service supported this project in this reporting year by providing money to a university or college					
Full name of college or university			Name of department or program		
Name of campus, if unique			Annual funding provided by NPS to university or college this reporting year		
			\$		

The National Park Service may not conduct or sponsor, and a person is not required to respond to, this collection of information unless it displays a currently valid OMB control number.

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